



# N.C. Department of Transportation

## Public Transportation Division

### ROAP Webinar

July 9, 2010



## ROAP – Rural Operating Assistance Program

### Webinar Purposes

- Educate county officials, human service agency staff persons and transit operators on the opportunities and requirements of ROAP funding.
- Provide guidance on completing application.
- Gather feedback from participants.





## ROAP – Rural Operating Assistance Program

### Overview

The Rural Operating Assistance Program (ROAP) is a state funded public transportation grant program administered by the N.C. Department of Transportation - Public Transportation Division (NCDOT-PTD). ROAP funds are allocated to each county by formula.

ROAP includes the following programs:

- EDTAP - Elderly and Disabled Transportation Assistance Program
- EMPL - Employment Transportation Assistance Program
- RGP - Rural General Public Program
- SuppROAP - Supplemental ROAP Program





## ROAP – Rural Operating Assistance Program

# Eligible Applicants

**County governments (Board of Commissioners) are the only eligible applicants for ROAP funds.**

**All counties must submit an annual application to receive ROAP funds. As a general rule, each county is eligible to receive an allocation from each program; however, counties that do not provide transportation services to the general public are not provided a Rural General Public Program (RGP) allocation.**





## ROAP – Rural Operating Assistance Program

# Cost Participation

### ▪EDTAP and SuppEDTAP

Funding can be used to provide up to 100% of the fully allocated cost of the trip or other service and requires **no local match**.

### ▪EMPL and SuppEMPL

Funding can be used to provide up to 100% of the fully allocated cost of the trip or other service and requires **no local match**.

### ▪RGP and SuppRGP

Funds may be used to provide 90% of the fully allocated cost of each general public trip. The remaining **10% must be provided from fares, local funds or a combination of the two**.





## ROAP – Rural Operating Assistance Program

# Eligible Use of Funds

**ROAP funds are to be used for the operating cost of trips or for other services. They are not for administrative or capital costs.**





## ROAP – Rural Operating Assistance Program

### Eligible Use of Funds (cont.)

**Trip Based Services** - Trips may be provided by car/vanpool, taxi, public transit vehicle, private transit vehicle, agency vehicle or mileage reimbursement to a volunteer. The most cost-effective option should be chosen. Public/private transportation providers shall be reimbursed based on the fully allocated cost per mile, per hour, or per passenger trip, or for the cost of a token or ticket. Volunteers can be reimbursed for mileage only. If a human service agency uses an agency vehicle to provide the trip, the agency must include the fully allocated cost of a trip in their reimbursement request including fuel, driver time and benefits, depreciation, vehicle insurance and licensing.

**Other Services** – Includes expenses incurred transporting a passenger to a destination without using a public transit system, private transit or agency vehicle.



# ELIGIBLE TRANSPORTATION EXPENSES MATRIX

Trip Based	EDTAP	EMPL	RGP
Personal care, non-emergency medical appointments, pharmacy pickup, shopping, bill paying, public hearings, committee meetings, classes, banking, etc.	Yes	NO	Yes
Job interviews, job fair attendance, job readiness activities or training, GED classes	Yes	Yes	Yes
Transportation to Workplace (trip must be scheduled by the individual passenger)	Yes	Yes	Yes
Child(ren) of Working Parent transported to Child Care	NO	Yes <sup>1</sup>	Yes
Group field trips/tours to community special events	Yes	NO	*
Overnight trips to out-of-county destinations	Yes	NO	*
Human Service Agency appointments	Yes	NO	Yes
Other Services			
Other Services	EDTAP	EMPL	RGP
Fuel (gas voucher, gas card, reimbursement to fuel provider)	Yes	Yes	Yes
Maintenance Repairs to personal cars (must own the car).	NO	Yes	NO
Personal car insurance 1 time payment that can cover needs up to 3 months.	NO	Yes	NO

\* Charter Service regulations apply to Section 5311 funded transit systems.



## ROAP – Rural Operating Assistance Program

# ROLES AND RESPONSIBILITIES





## ROAP – Rural Operating Assistance Program

# Program Administration

## Responsibility for Program Administration

**PTD is responsible for providing program monitoring and oversight to ensure that state funds are used for their intended purpose.**

**To satisfy this responsibility, ROAP recipients must report semi-annually on the use and expenditures of ROAP funds in the form and format prescribed by PTD.**

**The NCDOT External Audit Branch reviews county audit reports and performs on-site audits of ROAP expenditures.**





## ROAP – Rural Operating Assistance Program

# Grant Administration

## Responsibility for Grants Administration

The county must sign a certification statement that describes the roles and responsibilities associated with the application for, and acceptance of ROAP funds, and guarantees that certain actions will be taken at the county level to properly administer the program.





## ROAP – Rural Operating Assistance Program

# Grant Administration

## Accountability

**The county finance officer will be responsible for the administration of the ROAP grant at the local level. While the county finance officer may delegate some grant administrative duties to the community transportation system or another designee, the county finance officer is considered the county official accountable for ROAP.**





## ROAP – Rural Operating Assistance Program

# Grant Administration

## Responsibility of the County

The county must implement administrative processes that will ensure the following:

- ROAP funds are expended on needs identified through a public involvement and/or planning process.
- ROAP funds are expended on eligible activities only.
- Supporting documentation of expenditures is maintained.
- Service recipients meet eligibility requirements and their eligibility is documented.
- Trips and services funded with ROAP funding are monitored and evaluated throughout the period of performance.
- An accounting of trips, services and expenditures is provided in semi-annual reports to NCDOT.
- ROAP funds received and expended are included in the annual audit.





## ROAP – Rural Operating Assistance Program

# Grant Administration

## Sub-recipient Determination

It will be the responsibility of county governments to sub-allocate and distribute the funds to local agencies as allowed within the program guidelines. A methodology for selecting sub-recipients and sub-allocating the funds should be developed that includes public outreach and involvement.

The county should determine what the transportation needs of agencies and individuals are in the county before beginning the application.

It is the intent of the ROAP program that these funds be used to provide transportation and other services when other funding sources are not available.





## ROAP – Rural Operating Assistance Program

# Grant Administration

## Monitoring and Evaluation

**ROAP services should be routinely monitored by the county to verify that funds are being spent on allowable activities, that the eligibility of service recipients is being properly documented and that eligible services are being provided.**

**ROAP funded services should also be evaluated to determine whether the sub-recipients are meeting county-defined program objectives.**





## ROAP – Rural Operating Assistance Program

# Grant Administration

## Reporting

There will be semi-annual ROAP Reports for the grant cycle FY2011. The county will be required to report trip and expense data associated with the formula ROAP funds separately from other operating assistance programs. The final report identifies the amount of unexpended funds to be returned to NCDOT.

The ROAP funds should be managed so that transportation services can be continuously provided during the entire 12 months of the grant cycle. The county must notify the assigned NCDOT-PTD Mobility Development Specialist in writing if any ROAP or Supplemental ROAP service is discontinued. Section 5311 funded transit systems cannot discontinue public transportation services.





## ROAP – Rural Operating Assistance Program

# Grant Administration Tips

### The county should have:

- Policies and procedures for documenting a person's eligibility for ROAP funded trips or other services, and documenting the provision ROAP funded trips or other services.
- A ROAP Sub-recipient Grant Agreement for agencies that are not county-operated.
- Performance measures, evaluation methodologies and a sub-recipient reporting schedule.
- Cash management procedures for receipt, deposit and disbursement of ROAP grant funds and associated fares.
- A methodology for tracking and using interest from ROAP funds to provide more trips or services.
- A plan and place for retaining ROAP records for five years.
- Plans to prevent funds from being spent in less than 12 months and/or plans to prevent the discontinuation of services if the funds are spent in less than 12 months.





## ROAP – Rural Operating Assistance Program

# Funds Management





## ROAP – Rural Operating Assistance Program

# Funds Management

## Transferring Funds

The following category of funds **CANNOT** be transferred to any other ROAP program:

- EDTAP
- RGP
- Supplemental RGP funds (Cannot be transferred to RGP)
- Supplemental EDTAP (Cannot be transferred to EDTAP)

Counties **CAN** transfer funds to other sub-recipients within the same program to avoid unspent funds at the end of the period of performance.

Counties can transfer between counties in a Regional Transit System. A list of eligible regional systems is included in the ROAP State Management Plan.





## ROAP – Rural Operating Assistance Program

# Funds Management

## Transferring Funds (cont.)

**Counties can transfer EMPL funds to EDTAP and/or RGP if:**

- ALL the employment needs listed in the county's LCP have been met and the strategies implemented, and
- The county manager provides a statement prior to transferring the funds that certifies there are NO employment transportation needs in the county. The statement must describe how the manager made this determination.

**Counties can allow sub-recipients to use ROAP funds to leverage more operating funds by applying for other transportation grants administered by NCDOT-PTD including:**

- 5310 – Elderly Individuals and Individuals with Disabilities
- 5311 – Non-Urbanized Formula Program
- 5316 – Job Access and Reverse Commute (JARC)
- 5317 – New Freedom Program





## ROAP – Rural Operating Assistance Program

# ROAP State Management Plan

The ROAP State Management Plan describes the State's policies and procedures for administering and using the ROAP Program funds. It should be used by the county as a program guide and shared with all sub-recipients. This document shall be the basis of any NCDOT initiated financial or management review of the program at the county level.

### General Guidelines

- County administration of funds
- Application requirements
- Matching requirements
- Transferring funds
- Continuation of services
- Monitoring and evaluation
- And more!

### Program Guidelines

- Program description
- Allocation formula
- Eligibility criteria
- Eligible expenses
- Restrictions





## ROAP – Rural Operating Assistance Program

# APPLICATION GUIDANCE

## Application Timeline and Process

- Application Timetable
- Completing an application process.
- Highlights of Changes





## ROAP – Rural Operating Assistance Program

# Application

### FY2011 Projected Timetable

1	Early Application Deadline	August 13, 2010
2	Early Disbursement – <i>Must meet Early Deadline</i>	August 31, 2010
3	Final Application Deadline	August 31, 2010
4	First Disbursement (50%)	September 30, 2010
5	Proposed Second Disbursement (25%)	December 31, 2010
6	Proposed Third Disbursement (25%)	March 31, 2011





## ROAP – Rural Operating Assistance Program

# Completing the Application Process

- Read all of the ROAP documents before starting the application.
- Notify agencies, citizens and the TAB Board that ROAP funds are available.
- Review list of the needs and service gaps included in any existing transportation plans in the county.
- Schedule a public hearing and prepare the public hearing notice(s). Notice must be published not less than seven days and not more than 14 days before the public hearing. Get an original copy of the notice(s) and an affidavit of publication from the local newspaper.
- Determine who will make the FINAL sub-allocation recommendation that will go to the county commissioners.





## ROAP – Rural Operating Assistance Program

### Completing the Application Process (cont.)

- Recommended – Hold a planning meeting with agencies and citizens to get input in to the county’s sub-allocation decision. Discuss ways of making the funding last for 12 months and preventing the discontinuation of services.
- Complete the ROAP application and send it with a sub-allocation recommendation to the County Manager. (*Use the sub-allocation worksheets to demonstrate the sub-allocation plan*)
- Hold a public hearing at the County Commissioner’s meeting. Complete the public hearing record included with the application.
- The County Manager and Chair of Commissioners must sign the Certified Statement. Add the county seal to statement.
- Use the Checklist to prepare the application for mailing and e-mailing.





## ROAP – Rural Operating Assistance Program

### FY2011 Changes

The application format has changed from essay questions to yes/no and short answer questions.

There's a new section in the application about the county's management of ROAP funds.

A new certified statement describes the roles and responsibilities associated with the ROAP Program and includes guarantees from the applicant that certain actions will be taken to properly administer the program.

New program guidance pertaining to the discontinuation of services, transfer of funds, eligible sub-recipients of EMPL funds, frequency of reports and the documentation and retention of records is included in the new ROAP State Management Plan.

Applicants are encouraged to give more emphasis to providing public transportation versus client-based human service transportation with the ROAP funds.





# Questions?

